

LA-UR-21-26990

Approved for public release; distribution is unlimited.

Title: Classified Matter Protection and Control Overview Course 16028

Author(s): Rinke, Helen Mae

Intended for: Web

Issued: 2021-07-20

Disclaimer:

Los Alamos National Laboratory, an affirmative action/equal opportunity employer, is operated by Triad National Security, LLC for the National Nuclear Security Administration of U.S. Department of Energy under contract 89233218CNA000001. By approving this article, the publisher recognizes that the U.S. Government retains nonexclusive, royalty-free license to publish or reproduce the published form of this contribution, or to allow others to do so, for U.S. Government purposes. Los Alamos National Laboratory requests that the publisher identify this article as work performed under the auspices of the U.S. Department of Energy. Los Alamos National Laboratory strongly supports academic freedom and a researcher's right to publish; as an institution, however, the Laboratory does not endorse the viewpoint of a publication or guarantee its technical correctness.

Classified Matter Protection and Control Overview

Course #16028

Introduction

This course will assist personnel in preventing the compromise of classified matter by presenting requirements for classifying, marking, reproducing, destroying, inventorying, and transmitting classified matter.

Learning Objectives

At the conclusion of this course, you will be able to

- define the terms "classification" and "classified matter";
- identify classification levels and categories, including caveats;
- identify clearance requirements for accessing levels and categories of classified matter;
- recognize the roles of the Classified Matter Custodian, derivative classifier, and the office of Classification Group;
- identify requirements for marking a classified document;
- identify requirements for storing classified matter;
- identify requirements for reproducing a classified document;
- identify requirements for destruction of classified matter;
- identify requirements for inventorying accountable matter; and
- identify requirements for transmitting a classified document.

Course Completion and Credit

It is recommended that you view this course in its entirety by using the "next" button at the bottom of each screen. After completing this course you will be required to pass the corresponding quiz with a score of 80% or higher to receive training credit.

Classification Guidance

What is Classification?

Classification is the act or process by which information or matter is determined to require protection in the interest of national security under either the Atomic Energy Act of 1954 as amended, [10 CFR 1045](#), *Nuclear Classification and Declassification*, or [Executive Order 13526](#), *Classified National Security Information*, as amended.

What is Classified Matter?

Classified matter is the physical form of classified information, for example, a paper document, photograph, radiograph, electronic media, machined part, or apparatus.

What is a Classified Matter Custodian?

Your assigned Classified Matter Custodian (CMC) oversees the marking, receipt, transmission, storage, accountability, reproduction, destruction, and record keeping of information related to classified matter. Your CMC can help you decide what is required for classified matter protection and control. All movement of classified matter must go through your CMC. *Your CMC can keep you out of trouble!*

Classification Levels

TOP SECRET (TS) - Unauthorized disclosure could be expected to cause *exceptionally grave* damage to national security.

SECRET (S) - Unauthorized disclosure could reasonably be expected to cause *serious* damage to national security.

CONFIDENTIAL (C) - Unauthorized disclosure could reasonably be expected to cause *damage* to national security.

Classification Categories

Each level of classified information can be any one of three categories:

- **Restricted Data (RD)** - all data concerning design, manufacture, or use of atomic weapons; production of special nuclear material; or use of special nuclear material in the

production of energy, except for data declassified or removed from the Restricted Data category pursuant to Section 142 of the Atomic Energy Act of 1954, as amended.

- **Formerly Restricted Data (FRD)** - classified information that the DOE or its predecessor agencies, in conjunction with the Department of Defense
 1. have jointly determined to be related primarily to the military utilization of atomic weapons, and
 2. can be adequately safeguarded in a manner similar to National Security Information.
- **National Security Information (NSI)** - any information that has been determined, pursuant to Executive Order 12958, *Classified National Security Information*, as amended, or any preceding order, to require protection against unauthorized disclosure and that is so designated.

Accessing Classified Information

This matrix identifies the clearances required to access various levels and categories of classified information:

	RD	FRD	NSI
Top Secret	Q	Q	Q
Secret	Q	Q/L	Q/L
Confidential	Q/L	Q/L	Q/L

Caveats

Caveats are designators of information whereby additional access and control of the information is required. Examples of caveats are Sigma 14, 15, 18, 20, and Originator Controlled.

Sigma Caveats

Some individuals at the Laboratory may need access to Sigma information. Sigmas are caveats associated with atomic weapons or nuclear explosive devices. Individuals accessing Sigma information must have a Q clearance.

Is It Classified?

If you are going to process technical data on a computer, discuss it with the Office of Classification prior to placing it on an unclassified system.

Mandatory Marking Requirements

The first page of any classified document must contain the following information:

- classification level
- category (if RD or FRD)
- unclassified subject or title
- derivative classifier information
- date
- office of origination
- caveats, if applicable
- unique number, if accountable

Subsequent interior pages must be marked at the top and bottom to identify the highest level and category of classified information contained on that page, including unclassified, or the overall highest level and category of information contained in the document.



Warning: Accountable classified matter requires additional markings. An accountability log for these items must reflect this information when the accountable matter is originated, transmitted, reproduced, or destroyed.

Consult [P204-2, *Classified Matter Protection and Control Handbook*](#), for detailed guidance on marking and accountability of classified matter. Your CMC will also be able to answer such questions.

Storing Classified Matter

Classified Document Storage

Classified documents must be stored in a secured, GSA-approved storage container, vault or vault/VTR area. The classified document must be attended by a properly cleared and authorized person with a need-to-know.

Leaving classified storage containers open and unattended may be an event for issuing a security infraction!

Warning: Failure to have a document properly reviewed before it is stored may also be cause for a security infraction if the document contains classified information.

Caring for Drafts and Working Papers

When storing, mark all classified draft copies and working papers with the following:

- date of origin,
- highest potential classification **level** on top and bottom of each page and back of the last page,
- classification **category** and admonishment on the first page, if RD or FRD,
- the words "Draft" or "Working Paper" stamped, typed, or written on the top of the first page, and
- caveats, if applicable, on the first page above the category marking.

Final document markings (see marking requirements) are required when

- the draft/working paper is retained for more than 180 days from the date of origin for Secret or Confidential, or 30 days for Top Secret;
- the draft/working paper is finalized; or
- the draft/working paper is released by the originator, LANL work group, or multi-site work group.

Classified working papers must be destroyed when no longer required.

Storage Containers

An end-of-day check must be performed each work day (each day LANL is open for business) for each storage container used to store classified matter, whether or not the storage container was accessed for that work day. The end-of-day check may be performed by a worker other than the user who opened and/or closed the container. No end-of-day check is required for GSA-approved safes within vaults, if the vault was not opened for that day; however, the vault itself must be checked.

Record the time and initials of the persons securing the containers on Standard Form 702 (LANL Form 1692-A), *Storage Container Check Sheet*. The form is available on the LANL [Forms Center](#). This check sheet is a record of opening, closing, and checking the storage container to ensure it is closed and locked.

Note: You must retain the *Storage Container Check Sheet* for three months after the date of the last entry.

Reproducing Classified Documents

If required by operational necessity, a classified document may be reproduced. You must acquire proper authorization to reproduce the document. Documents with written prohibitions against copying may NOT be reproduced. Obtain originator approval before reproducing classified matter marked with the ORCON, Sigma 14, or Sigma 20 caveats. Accountable documents can only be reproduced by the CMC.

Photocopying Guidelines

- The number of copies reproduced must be limited to the minimum number required.
- Copy classified documents only on designated copy machines located in a limited area or higher.
- Copy machines must be posted with Rules of Use and operating instructions (Attachment A) of the [Classified Matter Protection and Control Handbook](#), P204-2.
- Ensure that persons who reproduce classified matter are authorized to handle such classified matter and are cleared at the appropriate level of information being photocopied.
- Run at least three cycles of blank paper through the copy machine after reproducing classified documents. This will ensure that no classified waste is trapped in the copier. For digital copiers, power down the machine for approximately 30 seconds or longer. If the copier can't be identified as analog or digital, BOTH steps must be completed.
Important: unclassified blank papers must be treated as classified; shred them in a shredder approved for classified waste destruction.
- **Do not leave classified documents or copies in the copier!** Double-check in and around the copier, including holding and output trays.

Reproducing Accountable Documents

The following are considered accountable documents:

- Top Secret,
- Secret Restricted Data matter stored outside and LA or higher
- Any matter designated as accountable by national, international, or programmatic requirements, such as Sigma 14, and NATO Atomic

Any time an accountable document is reproduced it must be entered into the accountability system. Take the accountable document to the CMC to have it entered into the system.

Destruction of Classified Matter

If you no longer need a classified document, destroy it! Inventory time is much easier if you purge your document collection often.

Coordinate with SI-DCRM prior to destroying classified matter so that you do not inadvertently destroy records that must be retained for legal or historical reasons. Check with your CMC regarding accountable classified matter.

There are very specific methods for destroying classified documents:

- All classified paper documents must be destroyed by shredding machines approved for classified waste destruction. The proper shredding size dimensions for residue are 1 mm x 5 mm (or grandfather units 1/32 x 1/2).
- Ensure that all paper clips, file folder clips, and other metal items are removed from documents before shredding.
- The Destruction Crew will pick up bulk amounts of classified for shredding. Submit an online request to lanlshred.lanl.gov.
- **Do Not** send Sigma 14, SAP, SCI, UK, crypto, comsec, or parts to burn-it.lanl.gov.

Destruction of Accountable Matter

Destruction of accountable matter must be done by a CMC. When destroying accountable matter, a *Record of Destruction* must be completed and the destruction must be recorded in the accountability log. A witness with the same level of clearance as the matter being destroyed must sign the form and witness the destruction.

Note: The record of destruction must be retained for 5 years for TS, and 2 years for SRD and below.

Remember: Before accountable matter is destroyed and while it is awaiting destruction, it must be treated and protected as classified and

- attended by authorized personnel, or
- kept in a GSA-approved storage container.

For questions regarding destruction of accountable matter, consult your CMC.

Inventorying Accountable Matter

An annual inventory is conducted for all accountable matter (parts, documents, media).

If you transfer or terminate, or you are no longer in need of accountable matter, you must account for all accountable matter charged to you. Your CMC can furnish a listing of documents or parts charged to you. You and your management can decide to whom documents should be transferred and which, if any, should be destroyed. You can make this process run smoother by reconciling documents and records as early as possible. It can take months to complete the process if you have extensive holdings.

Your CMC will take care of transfers, destruction, and distribution, including logging out and issuing receipts.

Transmitting a Classified Document

Before transmitting a classified document, you and your CMC must make sure that the recipient

- meets the need-to-know criterion,
- possesses the required access authorization, and
- has a verified classified mail address.

Preparing a Document or Media for Internal Transmission

1. Appropriately mark the document or media, attach a cover sheet, and place inside an opaque envelope.
2. Classification level, category (if RD or FRD), and any caveats must be stamped on the top and bottom, front and back of the envelope.
3. Interior pages must be stamped with level and category (if RD or FRD) on top and bottom of each page.
4. The top flap or seam must be taped with tamper resistant fiber tape.
5. Sender information must include name, organization, and classified mail stop.
6. Recipient information must include name, organization, and classified mail stop.
7. All *accountable* documents or media require a classified document receipt (LANL Form 835A).

Note: Call OP-MM for pickup of the document/media. **DO NOT** put it in regular mail distribution.

Preparing a Document or Media for External Transmission

Preparing the Inner Envelope

- Classified matter **must** be placed in an opaque envelope that can be locked or sealed with approved tamper-resistant fiber tape.
- If the classified matter is accountable or Secret, a classified matter receipt **must** be used, and the top two copies (white and yellow) **must** be inserted in the inner envelope.
- The envelope **must** be locked, *or* all seams of the inner envelope **must** be sealed with approved tamper-resistant fiber tape.
- The LANL classified mail address **must** be placed on the top left-hand corner of the front of the inner envelope.
- The recipient's classified mail address **must** be placed on the center of the front of the inner envelope. (The address **must** be accurate; check the approved LANL Classified Mail Channel.)
- The classification level of the classified matter **must** be marked on the top and bottom of the back and front of the inner envelope.
- If the matter is RD or FRD, the category **must** be marked on the front of the inner envelope.
- Any caveats that apply to the classified matter **must** be marked on the front of the inner envelope.

Preparing a Document or Media for External Transmission, continued

Preparing the Outer Container

- The inner envelope **must** be placed in an opaque outer envelope which **must** maintain the integrity of the inner envelope.
- All seams of the outer envelope **must** be sealed with approved tamper-resistant fiber tape, or the outer envelope **must** be constructed in a manner designed to provide tamper indication.
- The LANL classified mail address **must** be placed on the top, left-hand corner of the front of the outer envelope.
- The recipient's classified mail address **must** be placed on the center of the front of the outer envelope. (The address **must** be accurate; check the approved LANL Classified Mail Channel.)
- The words "Registered Mail" **must** be marked on the outer envelope. **Note:** Certified Mail may be used to mail Confidential level matter.

Note: Call OP-MM for pickup of the document/media. **DO NOT** put it in regular mail distribution.

Receipts

- A Confidential document does not require a classified document receipt, but its use is encouraged.
- A Secret document requires a classified document receipt.
- Top Secret matter **may not** be mailed or shipped by Federal Express; it must be handcarried or sent by Department of State Courier Service, Defense Courier Service, or by TS-approved telecommunications systems and requires a receipt.
- All accountable matter requires a receipt.

Confer with your CMC for any questions regarding transmission of classified matter.

Preferred Transmission Methods

The *preferred method* of transmitting classified matter to an off-site destination is the U.S. Postal Service registered mail. All attempts should be made to use this method.

Transmission by Federal Express is restricted to emergency situations when the classified matter must arrive at the destination the next day. Federal Express must not be used as a matter of routine or convenience; moreover, Federal Express may be used *only* Monday through Thursday and *not* preceding a holiday.

When it is essential or meet operational requirements and no other means of transmission is available, a classified document may be handcarried to off-site facilities.

Note: There have been some difficulties experienced by personnel attempting to handcarry classified matter aboard commercial aircraft.

Conclusion

If you need to review a topic or topics again before exiting this course and taking the quiz, you can go directly to a topic from course menu on the left.

For course content questions, contact SEC-PPO, CMPC Team.

Selecting "Course Exit" below will close this content window and return to UTrain. Select the quiz separately from the UTrain menu. You must pass the quiz with a score of 80% or higher to receive course credit.